


Docket No.
CEDAR-45257

Declaration For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Methods of Using Pituitary Tumor Transforming Gene (PTTG) Carboxy-Terminal Peptides to Inhibit Neoplastic Cellular Proliferation And/Or Transformation of Breast And Ovarian Cells

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on December 4, 2000 as United States Application No. or PCT International Application Number 09/730,469 and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

PCT/US97/21463

PCT

21 Nov 1997

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional

60/031,338

(Application Serial No.)

11/21/96

(Filing Date)

(Application Serial No.)

(Filing Date)

(Application Serial No.)

(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, CFR Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

09/687,911

(Application Serial No.)

10/13/00

(Filing Date)

PENDING

(Status)
(patented, pending, abandoned)

09/569,956

(Application Serial No.)

05/12/00

(Filing Date)

PENDING

(Status)
(patented, pending, abandoned)

08/894,251

(Application Serial No.)

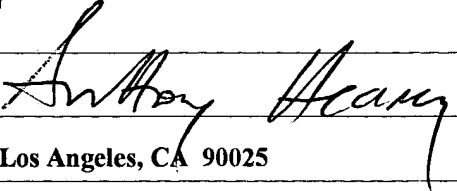
07/23/99

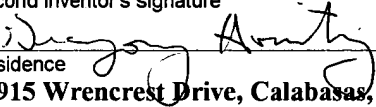
(Filing Date)

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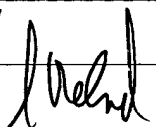
(Status)
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Anthony P. Heaney	
Sole or first inventor's signature 	Date 6/4/01
Residence 2016 Greenfield Avenue, Los Angeles, CA 90025	
Citizenship Ireland	
Post Office Address Los Angeles, CA 90025	

Full name of second inventor, if any Gregory A. Horwitz	
Second inventor's signature 	Date 6/4/01
Residence 22915 Wrencrest Drive, Calabasas, CA 91302	
Citizenship United States	
Post Office Address Same as above	

Full name of third inventor, if any Xun Zhang	
Third inventor's signature	Date
Residence 105 Summer Street, #204, Malden, MA 02148	
Citizenship People's Republic of China	
Post Office Address Same as above	

Full name of fourth inventor, if any Shlomo Melmed	
Fourth inventor's signature 	Date 6/4/01
Residence 9437 Cresta Drive, Los Angeles, CA 90035	
Citizenship United States	
Post Office Address Same as above	



Docket No.
CEDAR-45257

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English Language Declaration

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21 Nov 1997

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I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional

<u>60/031,338</u>	<u>11/21/96</u>
(Application Serial No.)	(Filing Date)
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I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, CFR Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

<u>09/687,911</u>	<u>10/13/00</u>	<u>PENDING</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
 <u>09/569,956</u>	 <u>05/12/00</u>	 <u>PENDING</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
 <u>08/894,251</u>	 <u>07/23/99</u>	 <u>PENDING</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Anthony P. Heaney	
Sole or first inventor's signature	Date
Residence 2016 Greenfield Avenue, Los Angeles, CA 90025	
Citizenship Ireland	
Post Office Address Los Angeles, CA 90025	

Full name of second inventor, if any Gregory A. Horwitz	
Second inventor's signature	Date
Residence 22915 Wrencrest Drive, Calabasas, CA 91302	
Citizenship United States	
Post Office Address Same as above	

Full name of third inventor, if any Xun Zhang	
Third inventor's signature 	Date 21 May 2001
Residence 105 Summer Street, #204, Malden, MA 02148	
Citizenship People's Republic of China	
Post Office Address Same as above	

Full name of fourth inventor, if any Shlomo Melmed	
Fourth inventor's signature	Date
Residence 9437 Cresta Drive, Los Angeles, CA 90035	
Citizenship United States	
Post Office Address Same as above	

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.27 (d) AND 1.27 (d)) - NONPROFIT ORGANIZATION

Docket No.
CEDAR-45257

Serial No.

09/730,469

Filing Date

December 4, 2000

Patent No.

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Issue Date

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Applicant/ Patentee: **Anthony J. Heaney, George A. Horwitz, Xun Zhang and Shlomo Melmed**

Invention:

Methods of Using Pituitary Tumor Transforming Gene (PTTG) Carboxy-Terminal Peptides to Inhibit Neoplastic Cellular Proliferation And/Or Transformation of Breast and Ovarian Cells

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: **CEDARS-SINAI MEDICAL CENTER**

ADDRESS OF ORGANIZATION: **8700 Beverly Boulevard**

Los Angeles, CA 90048-1865

TYPE OF NONPROFIT ORGANIZATION:

- ☐ University or other Institute of Higher Education
- ☒ Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
- ☐ Nonprofit Scientific or Educational under Statute of State of The United States of America
Name of State: Citation of Statute:
- ☐ Would Qualify as Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3)) if Located in The United States of America
- ☐ Would Qualify as Nonprofit Scientific or Educational under Statute of State of The United States of America if Located in The United States of America
Name of State: Citation of Statute:

I hereby declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification to be filed herewith.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Peter E. Braveman, Esq.

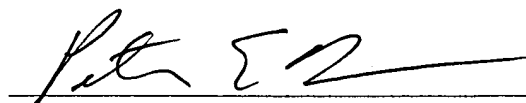
TITLE IN ORGANIZATION:

Senior Vice President for Legal Affairs and General Counsel

ADDRESS OF PERSON SIGNING:

Cedars-Sinai Medical Center8700 Beverly BoulevardLos Angeles, CA 90048-1865

SIGNATURE:



DATE:

6/5/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Anthony P. Heaney, Gregory A. Horwitz, Xun Zhang and Shlomo Melmed
Serial No.: 09/730,469
Filed on: December 4, 2000
Title: METHODS OF USING PITUITARY TUMOR TRANSFORMING
GENE (PTTG) CARBOXY-TERMINAL PEPTIDES TO INHIBIT
NEOPLASTIC CELLULAR PROLIFERATION AND/OR
TRANSFORMATION OF BREAST AND OVARIAN CELLS
Group 1614

POWER OF ATTORNEY

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D. C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO BOX MISSING PARTS, THE ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D. C. 20231, ON <u>JUNE 8, 2001</u>	
BY <u>[Signature]</u>	
<u>June 8, 2001</u>	Date of Signature

Dear Sir or Madam:

The undersigned assignee of the entire interest in the above-identified patent application hereby appoints the following attorneys and/or agents, Edward G. Poplawski, Esq., Reg. No. 33,439; Nisan A. Steinberg, Ph.D., Reg. No. 40,345, and Denise L. McKenzie, Esq., Reg. No. 43,790, members of the bar of the State of California, whose address is SIDLEY AUSTIN BROWN & WOOD, 555 West Fifth Street, Los Angeles, California 90013-1010, to prosecute and transact all business in the US Patent and Trademark Office relating to this application,

Please send all future correspondence to:

Edward G. Poplawski, Esq.
SIDLEY AUSTIN BROWN & WOOD
555 West Fifth Street
Los Angeles, CA 90013-1010

and direct all telephone calls to: Nisan A. Steinberg, Ph.D. at 213/896-6665; Fax (213) 896-6600.

Respectfully submitted,

CEDARS-SINAI MEDICAL CENTER

Dated: 6/5/01

[Signature]
Peter E. Braveman
Senior Vice President for Legal Affairs and
General Counsel



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Anthony P. Heaney, Gregory A. Horwitz, Xun Zhang and Shlomo Melmed

Serial No.: 09/730,469

Filed on: December 4, 2000

Title: METHODS OF USING PITUITARY TUMOR TRANSFORMING GENE (PTTG) CARBOXY-TERMINAL PEPTIDES TO INHIBIT NEOPLASTIC CELLULAR PROLIFERATION AND/OR TRANSFORMATION OF BREAST AND OVARIAN CELLS

Group 1614

CERTIFICATE UNDER 37 C.F.R. 3.73(b) ESTABLISHING RIGHT OF ASSIGNEE TO PROSECUTE

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D. C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO BOX MISSING PARTS, THE ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D. C. 20231, ON <u>June 8, 2001</u>	
BY <u>Ann Weiss</u>	
<u>[Signature]</u>	Date of Signature

Dear Sir or Madam:

CEDARS-SINAI MEDICAL CENTER

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of chain of title from the inventor, of the patent application identified above, to the current assignee as shown below:

1. From: Anthony P. Heaney, Gregory A. Horwitz, Xun Zhang and Shlomo Melmed

To: CEDARS-SINAI MEDICAL CENTER

The document is being filed herewith with the Patent and Trademark Office. A copy thereof is attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 6/5/01

Name: Peter E. Braveman, Esq.

Title: Senior Vice President of Legal Affairs and Deputy Counsel

Signature: [Signature]